

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE



## FILING COMPLETION UNDER RULE 53(f)

( NOT PCT Applications)  
For Design, Provisional, or Utility Applications

PATENT  
APPLICATIONCOMPLETION Under  
Rule 53(f)

In re PATENT APPLICATION of  
Inventor(s): FUJIURA

Appln. No.: 10 | 042,386 Atty.Dkt. P 284993 | T4KM-01S1334-1  
Series Code ↑ Serial No. ↑ M# Client Ref

Filed: January 11, 2002

Title: OPTICAL DISC, DISC CARTRIDGE AND OPTICAL DISC DRIVE

Attn: Application Division

Hon. Commissioner of Patents  
Washington, DC 20231

Date: March 14, 2002

Sir:

The following completes the filing under Rule 53(f) of the above-identified patent application:1. Notice to File Missing Parts  copy attached  not yet received2.  Signed Declaration attached.  Original  Facsimile/Copy

(Always "X" box 2 if filling signed Declaration and  
"X" box 2A only if top box of the Declaration is X'd and file application copy, or  
"X" box 2B only if none of the top three boxes of the Declaration is X'd.)

2A.  Attached: Original signed Declaration with attached specification (including claim(s)) which is a copy of specification and claim(s) originally filed to secure the above filing date.2B.  The original application as filed in the PTO on the above filing date is the application which each inventor executed by signing the attached Rule 63 Declaration.3.  Specification originally filed in non-English language; hence verified translation attached of:a.  Abstractb. #  pages of Specification(only spec. & claims)c.  Drawing(s)

No of Sheets

 Fig(s). \_\_\_\_\_4.  Letter filing formal drawing attached.5.  Attached is an assignment and cover sheet. Please return the recorded assignment to the undersigned.6. DOMESTIC/INTERNATIONAL priority is claimed under 35 USC 119(e)/120/365(c) based on the following provisional, nonprovisional and/or PCT international application(s):

| Application No. | Filing Date | Application No. | Filing Date |
|-----------------|-------------|-----------------|-------------|
| (1)             |             | (2)             |             |
| (3)             |             | (4)             |             |
| (5)             |             | (6)             |             |

7. FOREIGN priority is claimed under 35 USC 119(a)-(d)/365(b) based on filing in JAPAN

8.

| Application No. | Filing Date      | Application No. | Filing Date |
|-----------------|------------------|-----------------|-------------|
| (1) 2001-006858 | January 15, 2001 | (2)             |             |
| (3)             |                  | (4)             |             |
| (5)             |                  | (6)             |             |

9. \_\_\_\_\_ (No.) Certified copy (copies):  attached;  previously filed (date) \_\_\_\_\_  
in U.S. Application No. \_\_\_\_\_ / \_\_\_\_\_ filed on \_\_\_\_\_

10. Small Entity Status   is Not claimed  is claimed (file PAT-256 if this is the first claim of  
Small Entity Status)

11.  Attached:

12.  Preliminary Amendment:

**THE FOLLOWING FILING FEE IS BASED ON CLAIMS AS FILED LESS ANY ABOVE CANCELLED**

|                                                                                                                                                    |                |                              |             | Large/Small Entity |     | Fee Code     |
|----------------------------------------------------------------------------------------------------------------------------------------------------|----------------|------------------------------|-------------|--------------------|-----|--------------|
| 13. Basic Filing Fee .....                                                                                                                         |                | Design Application           | \$330/\$165 |                    |     | 106/26       |
|                                                                                                                                                    |                | Not Design Application       | \$740/\$370 | +740               |     | 101/201      |
| 14. Total Effective Claims                                                                                                                         | 20             | minus 20 =                   | 0           | x \$18/\$9         | +0  | 103/203      |
| 15. Independent Claims                                                                                                                             | 4              | minus 3 =                    | 1           | x \$84/\$42        | +84 | 102/202      |
| 16. If any proper multiple dependent claim (ignore improper) is present,<br>(Leave this line blank if this is a reissue application)               |                |                              | \$280/\$140 | +0                 |     | 104/204      |
| 17. Surcharge for filing Declaration/filing fee late                                                                                               |                |                              | \$130/\$65  | +130               |     | 105/205      |
| 18.                                                                                                                                                |                | <b>FILING FEE ENCLOSED =</b> |             |                    |     | <b>\$954</b> |
| 19. Original due date:                                                                                                                             | April 14, 2002 |                              |             |                    |     |              |
| 20. Petition is hereby made to extend the original due date to<br>cover the date this response is filed for which the requisite fee<br>is attached | (1 mo)         | \$110/\$55 =                 | +0          |                    |     | 115/215      |
|                                                                                                                                                    | (2mos)         | \$400/\$200 =                |             |                    |     | 116/216      |
|                                                                                                                                                    | (3mos)         | \$920/\$460 =                |             |                    |     | 117/217      |
|                                                                                                                                                    | (4mos)         | \$1,440/\$720 =              |             |                    |     | 118/218      |
| 21. If "non-English" box 3 is X'd, add Rule 17(k) processing fee . . . . .                                                                         |                | \$130                        | +0          |                    |     | 139          |
| 22. If "assignment" box 5 is X'd, add recording fee. . . . .                                                                                       |                | \$40                         | +40         |                    |     | 581          |
| 23. Petition Fee for                                                                                                                               |                | \$130                        | +0          |                    |     |              |
| 24.                                                                                                                                                |                | <b>TOTAL FEE ENCLOSED =</b>  |             |                    |     | <b>\$994</b> |

Our Deposit Account No. 03-3975

Our Order No. 8312

284993

C#

M#

**CHARGE STATEMENT:** The Commissioner is hereby authorized to charge any fee specifically authorized hereafter, or any missing or insufficient fee(s) filed, or asserted to be filed, or which should have been filed herewith or concerning any paper filed hereafter, and which may be required under Rules 16-18 (missing or insufficiencies only) now or hereafter relative to this application and the resulting Official document under Rule 20, or credit any overpayment, to our Account/Order Nos. shown in the heading hereof for which purpose a duplicate copy of this sheet is attached. This CHARGE STATEMENT does not authorize charge of the issue fee until/unless an issue fee transmittal form is filed.

Pillsbury Winthrop LLP  
Intellectual Property Group

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Atty/Sec: DSL/vaw

**NOTE: File in duplicate with PTO receipt (PAT-103A) and attachments**



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#3 Page 1 of 1  
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COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20313  
www.uspto.gov

| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER  |
|--------------------|---------------------|-----------------------|-------------------------|
| 10/042,386         | 01/11/2002          | Kazuo Fujiura         | P 284993 T4KM-01S1334-1 |

00909  
PILLSBURY WINTHROP LLP  
1600 TYSONS BOULEVARD  
MCLEAN, VA 22102

CONFIRMATION NO. 5480

FORMALITIES LETTER



\*OC000000007480861\*

Date Mailed: 02/14/2002

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 740 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$84.
  - \$84 for 1 independent claims over 3 .
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 954.

*A copy of this notice **MUST** be returned with the reply.*

88  
88  
740.00  
84.00  
130.00

Request Woldayes  
Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

03/16/2002 SPELLE1 00000000 10042386

01 FC:101  
02 FC:102  
03 FC:103